

Blake & Mouton

THE MANAGERIAL GRID®

Blake
Mouton

The Managerial Grid provides a key for unravelling and solving managerial problems. It is a tested system which has been applied in industry, and has contributed significantly to increased profits



BEST AVAILABLE COPY

The Managerial Grid®

*Key Orientations for Achieving Production
Through People*

ROBERT R. BLAKE, PH.D
President, Scientific Methods, Inc., Austin, Texas

JANE SRYGLEY MOUTON, PH.D
Vice President, Scientific Methods, Inc., Austin, Texas



GULF PUBLISHING COMPANY
HOUSTON, TEXAS

MANAGEMENT UNDER 9,1

Under a 9,1 theory, a manager has a position of authority in the hierarchy and he knows it. He feels his responsibilities are to plan, direct, and control the actions of his subordinates in whatever way is necessary to reach the production objectives of the enterprise. The boss plans, subordinates execute. They carry out the various plans, directions and schedules placed upon them. The aim under this approach is to get production! Schedules are to be met! People are expected to do what they are told to do—no more, no less!

A 9,1 managerial orientation is typified in the following quotations:

Planning. "I do planning by setting the production quotas and schedules to be followed by each subordinate. Then, I work out the procedures and operating ground rules and I make individual assignments. I also establish check points so I can ascertain that actions I have authorized are being taken as I intended them to be done."

Work Execution. "I watch the work closely. I criticize as I see the necessity for it and authorize changes as needs for them arise."

Follow-up. "I have plans laid for the next assignments and move people on to them as operations dictate. Recognition and corrective action are extended to individuals on a one-by-one basis."

These three statements contain a number of 9,1 assumptions concerning how to manage performance. Some major elements will be discussed in greater depth below. However, the above orientations to managerial responsibilities are, in themselves, keys to understanding the 9,1 style. The success of 9,1 management is measured solely in terms of production and profit. Personal managerial success in this context, then, has its reward in achieving production goals. Achievement becomes the watchword of the 9,1 approach.¹⁰ Here organization is like a competitive hurdle race. Victory goes to the swiftest, the one able to surmount each hurdle he confronts — without help. To the victor belong the spoils of organization.

CHAPTER THREE

The 9,1 Managerial Style

In the lower right hand corner of the Grid is 9,1. At this position a high concern for production, *g*, is coupled with a low concern for people, *i*. In the 9,1 managerial style, the assumption is made that, somehow, there is an inevitable contradiction between organizational needs of production and personal needs of people.¹¹ If one is met, the other must be sacrificed. Yet, people must be used to attain the production for which the manager feels responsible. If he acts from a 9,1 orientation, he seeks to resolve the dilemma by arranging conditions of work which minimize feelings and attitudes.¹² He does so in a way that prevents the "human" elements from interfering with efficiency and output.¹³

A manager operating at a 9,1 level, in the extreme, might be characterized as an exacting task master. He drives himself and his people alike. One thought monopolizes his concern and action—*production*. 9,1 personifies the entrepreneurial spirit.¹⁴

9,1 is one of the positions on the Grid where concern for people is low. Thus, it is not surprising that topics such as conflict, creativity, and commitment receive little attention. This does not indicate that topics such as conflict, creativity and commitment do not contain managerial assumptions under 9,1. Indeed, they do. The point is that they are weighted unevenly. Far more attention is given to how to organize work than to the conditions of organizing people in order to make it possible for them to work with maximum productivity.¹⁵

9.1 DIRECTION AND CONTROL

Direction and control are key managerial concepts. They can lend a better understanding to the 9.1 managerial style. The question is, "What is the 9.1 approach for orienting and correlating individual effort toward organization purpose?" Only those aspects of direction and control concerned with the coordination and execution of work effort are described to place 9.1, task management, in perspective.

Under 9.1, the relationship of a supervisor to a subordinate is along lines of *authority and obedience*.¹¹ The manager may exercise authority, in the extreme, over the slightest motions of the subordinate. The person whose work is supervised is obligated to obedient performance. The condition of work is that he must do what he is told — no more or less. Authority of hierarchy is not to be questioned. Lines of accountability and responsibility are clearly drawn. They are to be adhered to.¹²

If a subordinate should question a 9.1 oriented supervisor about the advisability of the method by which work is to be performed, he might get an answer such as, "These are your instructions. Do them and don't give me any lip. If there's anything I don't like, it's insubordination."

The underlying assumption that guides 9.1 action in this aspect of management is that externally imposed direction and control, of necessity, must be applied down through the organization hierarchy. Why? First, people are believed to dislike work inherently.¹³ Therefore, they must be pushed. Secondly, they are likely to be seen as less than fully capable of intelligently organizing their efforts effectively at their own levels of operation.¹⁴ If capable, they would not be there. While supervisors at lower echelons are held responsible for work, the planning and organizing aspects of their jobs are thought to be done more effectively up the line where perspective, skill, and information are present. And third, to manage otherwise would seem to weaken the structure of established authority, assumed to be necessary if the efforts

THE 9.1 MANAGERIAL STYLE 21

of "unwilling" subordinates are to be directed toward organization goals. As will be discussed when the personality aspects of individuals acting from a 9.1 background are examined, it has been "learned," long ago, that the actions of subordinates are very much like those of children. They must be strictly watched over by the supervisor who, in a sense, is a parent figure.¹⁵

This attitude also is apparent in middle and upper management levels.¹⁶ For example, the following advice was given to managers just below the top level in a large corporation. It is typical of 9.1 oriented management. "For an executive to challenge orders, directions, policies and procedures, rules and regulations, etc., smacks of insubordination, of lack of cooperation. It shows his failure to understand the need for decisions at highest level and for firm direction and control of operations."¹⁷ The primary direction and control over production then, is through the exercise of authority. However, in exchange for compliance with resulting effort, a man is "paid," sometimes extremely well.¹⁸ As one subordinate executive remarked, "You have to pay well to get a man to take the _____ I take."

Mistakes and Violations

Mistakes by subordinates, under a 9.1 style, are most likely to be viewed as due to human error. When something goes wrong on the job or an error is discovered, the manager with a 9.1 style is likely to say, "My immediate reaction is to find out who is responsible for the mistake and to mete out the appropriate disciplinary action in a swift and compelling manner. When people know that errors are not tolerated, they straighten up. If you don't nip such action in the bud, they will take advantage of you." The assumption is that the source of error is "in the person." It is the supervisor's responsibility to find it. Subordinates should pay for it.

Under the "produce or perish" concept, guilt is sought out so blame can be placed squarely and corrective action, with discipline to reinforce it, taken as indicated.¹⁹ In this way, the manager is able to control closely the actions of subordinates and is assured that a job will be

carried out as prescribed, even if he is not present to oversee its actual execution.

A 9,1 managerial attitude toward control can be illustrated in connection with policies and procedures. *Uniformity of action is the aim.*¹⁰ Through uniformity, orderly behavior occurs. Thus, a manager with a 9,1 orientation might say, "Uniform policies are indispensable to orderly production. Formal policies and procedures should be well defined to cover even emergency situations. They also should be enforced continuously whenever deviations from them arise." In a sense, then, the rule is not upheld merely for the rule's sake, but because in this way predictability of behavior can be insured. Standard operating procedures, for example, are designed to leave little to thought or chance.¹¹ Failure to deal with them when violations do occur, is tantamount to abdication of responsibility. To take prompt action is to insure it will not happen twice.

may come to have a mechanical or arbitrary quality about it. The subordinates' goal is to achieve the quota by whatever means necessary.¹² Industrial literature describing the operation of the Russian economic system contains many examples of the price paid in quality, quantity and in the integrity of human action when management of production is by the quota method.¹³

Quotas, in a real sense, also can become restrictive of production. Consider the following situation. A quota is set, based on past performance, available manpower, machines and materials, market analyses, and other relevant variables. Once set in people's minds, unlike genuine goals, a quota can assume the quality of a "ceiling." Unanticipated changes in the factors that went into the setting of the quota often occur. The market may be better than anticipated. A shift downward in materials costs may occur. More can be produced at a lesser per unit cost than anticipated and thus a competitive advantage gained from exceeding it. But, quotas have been assigned and have become frozen. Under these circumstances, efforts to raise the quota are seen as a management strategy of exploitation. They usually meet stiff resistance. If quotas are raised and are met, quality may suffer. The expectations of subordinates have been violated. There are ways to retaliate.¹⁴ As will be discussed under 9,9, goal-setting, on the other hand, imposes no ceiling on effort. The way is clear — the goal is to move as far in the established direction as possible. Changing circumstances present opportunities for innovation. They constitute a challenge toward exceeding the goal.

The quota as used in 9,1 has a close connection with deadlines, which are used for the same purpose: to put pressure on production. By setting a tight deadline, the 9,1 manager can exert force in the direction of results. As he might say to a subordinate, "The same job a month ago took two days to complete. Get it done this time in a day and a half."

Also used is the "squeezze" play, with a constant deadline. "The same job took four days for ten men the last time it was done. Get it done in four days with seven men on this trip."

THE CONCEPT OF GOALS UNDER 9,1

In the introduction, it was mentioned that a key managerial dilemma involved the relation between individual purpose and organizational purpose. The purpose (goal) of the organization, it was said, may or may not be the same as the goal(s) of people in the organization. Under 9,1, the manager's concern for organization goal (or purpose) is likely to be high, while goals of subordinates are, in fact, more or less ignored as a possible significant contributing factor.¹⁵

Goal-setting under 9,1 is, in many respects, a disregarded concept, if participation of those who work to achieve them is considered.¹⁶ However, in another aspect the concept goal is very likely to be found in 9,1. In the concept of quota, as used here, is some performance objective which is set by one level in the hierarchy in line with organization goals to be accomplished by those at a lower level. Though the quota may be quite clear, subordinates take no part in setting it. Depending upon how realistic the quota is and how much control is imposed upon those responsible for accomplishing it, the quota

Notwithstanding the restrictive and control qualities of a quota, or a deadline, the method of imposition under 9,1 conditions almost insures their attainment will in some degree be thwarted.

Resistance to quota setting is, perhaps, too well known to require further elaboration at this point.²⁷

Boss-Subordinate Relationships in 9,1

A basic assumption of the 9,1 approach is that the "people unit" to be managed in a work situation is the individual man (not the team, etc.). The supreme relationship is that of the supervisor over the subordinate.²⁸ Supervisors make decisions. Subordinates carry them out. Supervision is one to one. No provisions are made for interaction patterns between peers at an equal level and boss and subordinates in a one-to-all setting. According to a 9,1 managerial orientation, subordinates are likely to be viewed in the following way. "My subordinates are a means to the organization's success and to my own as well. As such, they are useful in getting the job done. Human relations are okay, but in the final analysis it is a produce-or-perish reality that people must learn to recognize."

Indeed, the managerial control strategy may be to keep subordinates separated.²⁹ According to 9,1, when people are isolated from one another, they are less likely to engage in the useless social interactions that are so detrimental to the performance on the job. Also, when informal work groups do form undercover, so to speak, the result frequently is a restriction of output. Under 9,1, this eventuality is closely guarded against. The concept of the "one-man gang" is an excellent example of isolation at the worker level.

A closer glance at any traditional organization chart will confirm how this concept of one to one is built into organizational working relationships.³⁰ Lines of accountability in the chain-of-command move vertically through the organization.³¹ The mind's eye cannot miss how positions are structured one over the other. Job and position titles reinforce the concept. Functional lines are parallel and "wired" vertically. These lines are well insulated to

THE 9,1 MANAGERIAL STYLE

26

a quota, or a deadline, the method of imposition under 9,1 conditions almost insures their attainment will in some degree be thwarted.

Resistance to quota setting is, perhaps, too well known to require further elaboration at this point.²⁷

Boss-Subordinate Relationships in 9,1

A basic assumption of the 9,1 approach is that the "people unit" to be managed in a work situation is the individual man (not the team, etc.). The supreme relationship is that of the supervisor over the subordinate.²⁸ Supervisors make decisions. Subordinates carry them out. Supervision is one to one. No provisions are made for interaction patterns between peers at an equal level and boss and subordinates in a one-to-all setting. According to a 9,1 managerial orientation, subordinates are likely to be viewed in the following way. "My subordinates are a means to the organization's success and to my own as well. As such, they are useful in getting the job done. Human relations are okay, but in the final analysis it is a produce-or-perish reality that people must learn to recognize."

Indeed, the managerial control strategy may be to keep subordinates separated.²⁹ According to 9,1, when people are isolated from one another, they are less likely to engage in the useless social interactions that are so detrimental to the performance on the job. Also, when informal work groups do form undercover, so to speak, the result frequently is a restriction of output. Under 9,1, this eventuality is closely guarded against. The concept of the "one-man gang" is an excellent example of isolation at the worker level.

A closer glance at any traditional organization chart will confirm how this concept of one to one is built into organizational working relationships.³⁰ Lines of accountability in the chain-of-command move vertically through the organization.³¹ The mind's eye cannot miss how positions are structured one over the other. Job and position titles reinforce the concept. Functional lines are parallel and "wired" vertically. These lines are well insulated to

insure that "sparks" do not jump the circuit, horizontally, and short-circuit the downward flow of communication, direction and control.

There is an actual office arrangement, which has been observed, that typifies the vertical structuring of working relations and that isolates those at peer levels. This large office accommodates the Accounts Payable and Accounts Receivable units within an accounting section. Six accountants are employed in each unit. One man supervises each unit. These two supervisors in turn report to the section manager.

The design of this office is such that each accountant works within a foggy-glass cubicle. The cubicles are closed on three sides and open to the front. A five-foot pathway separates the six cubicles of the one unit from the other. In front of each group of six cubicles is another cubicle. These two cubicles are for the unit supervisors. The unit supervisors' cubicles are closed on two sides. The front and the back are open. Splitting the pathway and at the opposite extreme of the office is the section manager's office. From here, the section manager can see into the cubicles of his two section supervisors. The section supervisors, in turn, can look "upward" toward their boss or "downward" toward their subordinates. The two supervisors cannot see each other. The subordinate accountants can see neither to the right nor to the left. They only can look upward to their supervisor.

The flow of communication and work direction is from the manager to each supervisor, separately. From here the two supervisors carry the work to their subordinates. From their vantage points in the office, the manager and each supervisor are able to visually "oversee" the work of those for whom each is responsible. The supervisors and the accountants do not, and are not expected to, know what is happening to the right or left. Decisions or judgments affecting both sections are made or interpreted at the manager's level. They are passed down the line, individually, to those below him.

As a final gesture of supreme verticality, the manager enters his place of work "from the top." The two su-

27 THE 9,1 MANAGERIAL STYLE

perisors enter through a side door, in the middle. The twelve accountants come and go through a door that opens into the center pathway—in the rear. The section manager, quite proudly, designed this arrangement. His style of management requires little probing for understanding. Subordinates know what is expected of them.

Meeting with Subordinates

At higher levels of management, interaction patterns between a boss and his subordinates may vary from lower levels. A reason is that the pooling of information often is required in order for complex decisions to be made. This results in various kinds of meetings. How meetings are used and the way in which interactions take place can be a signal of what managerial style is operating.

A manager with a 9,1 orientation is likely to utilize periodic meetings he initiates the following way:

"Accountability means that I am responsible for making decisions. Meetings are to communicate information or changes or to have progress reports to keep me abreast of work."

Thus, in the vast majority of instances, decision making is seen as the sole responsibility of the person who wears the highest cloak of authority.⁴⁴ Information is gathered from lower levels in order to permit the best possible one-alone decisions. Even one-to-one decisions, where a subordinate participates in the decision-making process, are likely to be relatively rare. This does not mean that a manager operating under a 9,1 orientation does not utilize meetings. He does, but the character of discussion gives a clue as to his assumption regarding the ways meetings are employed.

Interactions in such a meeting are predominantly one to one.⁴⁵ The boss speaks to each subordinate in turn. Little interaction between subordinates takes place.⁴⁶ A meeting of this sort can, in effect, be a time saver for the boss. He can make announcements simultaneously to several people rather than on a one-by-one basis. The pattern of interaction is essentially the same however. Each

subordinate, when asked, speaks only from the standpoint of his own job description and about those areas for which he is responsible. The manager is the focal point of the interaction. Just as in the accounting office arrangement, they physically are a group; psychologically, they are isolated one from each other. Instructions flow down and reporting information flows up on a straight line-hierarchical basis.⁴⁷

9,1 Attitudes Toward His Boss

The other side of the coin—the 9,1 attitude as a subordinate—is as follows:

"I want to prove myself via production figures and by being on top of details. I run my organization with minimum interference."

A manager with a 9,1 orientation, in other words, wants to be known by his works and evaluated according to results! The boss controls the performance rewards. As such, showing his boss what he can do is a major aim as a manager whose style is 9,1. Just as the subordinate manager rewards top performance (almost without regard for how it is obtained), so he expects his boss to recognize his achievement. The relation is a business one. It asks no leniency; it extends no sympathy. Performance, and only performance, counts.

The supervisor whose approach is 9,1 wants to "run his own show."⁴⁸ Any success, then, is a demonstration of his own performance and efforts. In keeping with this attitude a supervisor whose style is 9,1 is likely to report to his boss on results and any unusual problems or exceptions. But, "as long as things are on schedule," he (the boss) has no business worrying about routine details.

Creating and Maintaining Morale

A final aspect that is related to the boss-subordinate relationship is concern for morale. Morale wants watching after, for, out of hand, it can play havoc with production. But equally dangerous is an oversolicitous interest in employee welfare. It can corrode the moral fiber of men.⁴⁹

The basic attitude then is: "Men are employed to work. Supervised well, there should be no morale problem. If morale problems arise, their causes are likely to be traceable to 'soft' leadership." As a supervisor with a 9,1 orientation remarked, "Seeing to it that subordinates have plenty to do, with clear, high-quality instructions, leaves neither time nor inclination to gripe."

Again, the focus for resolution of morale problems is through heightened emphasis on achieving production as a sound way of controlling griping. Failure to do so means that people problems can, in an insidious way, erode the efficiency of an organization.

Communication Activities Under 9,1

9,1 management communication is formal and is the media through which the authority-obedience system of direction and control is exercised. The hierarchy is for the purpose of dispensing orders downward and controlling the coordination of effort. Communication upward is limited to reporting on actions accomplished and deviations from expected results. The formal organization chart defines legitimate channels.⁴⁸

In the 9,1 communication system, control is exercised by reducing to writing—in black and white—the information, orders, and procedures which are of major and minor significance. In this way, checks can be made, accountability for errors placed and corrective action administered.

It is possible that a manager in a 9,1 oriented organization might realize that things are not going well. Rather than use such mechanisms as opinion polls, surveys, etc., to find out what is going on, he is more likely to cut through organization lines of command and find out for himself, directly.⁴⁹ Touring the organization unannounced and asking probing questions to spot bottlenecks and trouble spots can "keep people on their toes." Such action is feared by managers at intermediate levels, because "swooping down" to catch irregularities or to get to the root of matters can expose a man without a defense. But this method of control through interruption in the communication system is likely to be a 9,1 characteristic.

THE 9,1 MANAGERIAL STYLE

29

While the downward jumping of levels occurs, sometimes to the extent of being an accepted organizational style, short-circuiting one's boss by "going over his head," to his boss is strictly frowned upon. To do so is to challenge established authority, an act which is abhorrent, viewed from a 9,1 orientation.

Office bulletin boards under 9,1 commonly resemble those associated with the military including duty rosters, performance results (high and low), etc. Communications are approved and dated before being posted. Trivia, such as cartoons, jokes, and the like, have no place. Here management's position with respect to the union, competitor products or sales and so forth are to be found, posted as official.

The 9,1 approach in using the company internal publication is to make known upper management's positions on a variety of issues and matters. The intention is to do so in such a manner as to insure that there is full understanding at lower levels of what management expects. The reason such an approach is 9,1 is that thinking is concentrated on getting production results *directly*—by close supervision and tight control. Attention is not applied to the question of how individual and organization goals can be meshed so that achieving production results becomes of widely shared, spontaneous concern of all.

9.1 APPROACHES TO MANAGING CONFLICT

Conflict comes to expression in its various forms—logical disagreement, win-lose arguments, open fighting.⁵⁰ In one way or another, all constitute evidences of emotional tension and disturbance between individuals or groups. Excluded, of course, are differences in viewpoint based on factual information, on the need to exercise complex judgement, etc. The latter tend to disappear under analytical study and review, while the former tend to persist, or, if brought to resolution, to reappear in new issues and topics. It is as though the interpersonal conflict which is present can find an endless number of forms through which to express itself.

In what is being said here, reference is to disagreement and competitiveness between individuals and groups holding membership in the same organization.⁴⁴ This is direct interpersonal and intergroup competition of a psychological character. Excluded from consideration is interorganizational competitiveness, as between companies. Here the competition is *impersonal*; it is sociological and economic. While the latter is indispensable for industrial progress, the former is mostly—though not entirely—disruptive of progress and growth.⁴⁵

As has already been discussed, production comes first. Any disruption that might prevent its attainment is looked upon as a barrier. As such, interpersonal conflict must be dealt with promptly. A second consideration is with respect to authority-obedience. Authority is the backbone of achieving production through people under 9,1; it is also employed to eliminate conflict. Beyond that, conflict, disagreements and dissension among those responsible for production can undermine the authority structure. Therefore, conflict cannot be allowed to permeate the work situation. It must be brought under control before it becomes unmanageable. Managing conflict under 9,1 can therefore be examined best in the context of 9,1 assumptions surrounding the production-people dimension.

From the Boss' Perspective

The approach to conflict management is to insure that conflict does not appear. When there is a difference in point of view as to how to do something, as between a boss and a subordinate, the fundamental rule of the game in 9,1 is *suppression*. This can be done by a boss, once disagreement arises, by simply "cutting it off."⁴⁶ A boss need not tolerate disagreement—he has the authority to deal with it in the way he likes. Operating from a 9,1 theory, a boss is likely to see disagreement as first cousin to insubordination.

When his decision is challenged by subordinates, for example, a boss operating under 9,1 assumptions is likely to feel that questioning by subordinates implies insubordination. His more usual reaction might be, "Look . . . that's the decision, and that's it. Anything that smacks

of resistance ought to be eliminated so that it will not occur again. Here is my answer for what will be done." So, the approach to resolving disagreement is that of enforcing subordinate action consistent with the boss' will.⁴⁷

Most major organizations of today have suppression programs of one sort or another that are built in to formal practices. Such programs may extend from a warning letter in a file, to one day off without pay, to three days off without pay, to, in the extreme, summary dismissal. The underlying assumption of a warning letter is that a person should be forewarned that his actions, which are in disagreement with the system, are unacceptable. Thus, he is put on notice that a further act of disagreement will bring more severe punishment. No provision to evaluate the possibility the rules need changing to bring them in line is made. Furthermore, no basis is provided for examining the *why* of the infraction—whether it occurred from ignorance, misinterpretation, maliciousness, etc. Thus, the possibility of using disagreement as educational subject matter is not considered.⁴⁸ As a result, an assumption, perhaps unwittingly, is that if the agreement is prevented from coming out into the open, this will correct or adequately handle the situation. At the very least, those consequences that can interfere with operations remain under the surface. The expression of conflict, in other words, is prevented by a supervisor applying the authority-obedience control formula and saying, "That's it! Here's the way it's going to be!"

When two or more subordinates get into open conflict with one another, again, the 9,1 approach is to suppress it by dealing firmly with those concerned. The appearance of interpersonal frictions as well as disagreements over how to get work done is interpreted under 9,1 to mean that people are not acting in a rational manner. Rather they are reacting emotionally. 9,1 has no tolerance for human emotional frailty.⁴⁹

Though suppression by "chewing out," "reading the riot act," etc., many times is effective in ending open conflict, it often fails to get at the core of the problem. It does not correct the underlying causes of con-

flict. Sources of conflict remain. The result is that unresolved, but hidden, conflicts many times reappear in disguised ways (slowdowns, careless errors, misinterpretation of instructions, etc.) to lower the quality of cooperation and reduce production effectiveness. If a manager with a 9,1 orientation runs into head-on contradiction, as the man-in-the-middle, between what he is told to do from above and what he knows will cause trouble, frustration, anxiety, or insecurity among those below, rarely would he himself sense internal conflict. He would not likely feel responsibility to ask for a review of the decision in the light of the "smoke" he knew it would generate. Rather, he would act under instruction and "let the chips fall where they may."

Another way of saying it is, if faced with a conflict of interests, the manager under 9,1 would identify with the position of greater authority and power; the more so if the issue involved centered on action to promote production at the expense of people. It is for this reason that layoffs frequently have such a cold, arbitrary quality. Their only goal is "getting rid of people," without more than passing thought to corporate responsibility for the welfare of people who have given effective service for 15, 20 or 25 years, and for whom other means of livelihood are not in sight. Though in the light of corporate economics, new product development, and production technology, layoffs frequently are inevitable, the way they are conducted—the amount of notice given, provision of severance pay, early retirement arrangements, job-seeking assistance in the labor market, etc.—can do much to aid affected individuals to make transitions from one employer to another. Such planning and legitimate welfare assistance would be reacted to by a manager with a 9,1 orientation as "molly coddling" and "soft."

Leverage—The Muted 9,1 Approach

In the absence of the unrestrained capacity to exercise unilateral managerial control (i.e., through "firing," etc.), techniques of leverage may be applied to accomplish the result. This is done by creating situations which offer the

person with the lesser hierarchical authority no real alternative but to "accept or else."⁴⁷ A typical example is where a job is declared to be no longer necessary, with its occupant thereby made surplus. But since he cannot be fired, he is offered an equivalent job at a distance which, for many reasons (family, etc.), he cannot possibly accept. His only option is to resign.

Leverage strategies are widely used in business, government and politics to settle differences in points of view in one's own favor. Though sometimes described as gentle persuasion, the thinking behind them might better be described as subtle coercion. Regardless of how described, the mental attitude involved is difficult to distinguish from 9,1; therefore, it is pictured here as a muted 9,1 approach. The gruffness is eliminated, but the effect is identical.

From the Subordinates' Perspective

Because of the emphasis on comparative evaluation between organization units in terms of production results, win-lose competitiveness *among those at the same level* is likely to develop under 9,1. The reason is that each vies with the others in terms of a "good showing" for advancement to higher positions. Such competitiveness is likely to go on outside the formal work system and to result in politics, maneuvering, etc.⁴⁸ Unleashing intercomponent competition—to "separate the men from the boys"—can result in spirited disagreement. Genuine disagreement is indispensable where differences are legitimate, but the 9,1 use of competition to spur effort often does not contribute to organization purpose. When it becomes intense and invidious it may work against achieving organization goals.⁴⁹

When the disagreement that is producing conflict does arise with his peers or with his boss, the goal of the manager with 9,1 assumptions is to end the conflict by proving his own right and others wrong. A win-lose approach is taken in order to show the weaknesses in the opponent's point of view.⁵⁰

The approach is to win by proving the rightness of one's position when the disagreement is between two people

who have a parallel relationship, i.e., where neither has authority over the other. The aim is not necessarily to develop a meeting of minds; indeed, if win-lose is underway, the objective is to bring one's adversary to his knees. The 9,1 element involves getting a result, with little or no regard for the other as a person. That he may be frustrated, degraded and, in the extreme, feel he has been "had" (and, therefore, rendered more ineffective in carrying out his job) is not given serious consideration as a part of the overall problem of resolving disagreement.¹¹ When there is an issue with one's boss, the 9,1 approach is to prove the rightness of one's position. However, win-lose is tempered by the subordinate because of his lower level and, as such, he is likely to go "underground." The subordinate may "throw the sponge in." It is not unknown for him to seek to vindicate his position by drawing others into his camp, even though doing so only results in broadening the arena of conflict. By more passive resistance, he may allow events to take place that can cause the boss' course of action to falter.¹² When subordinates are in conflict, another way to resolve the conflict is to appeal to a common boss—a third party who can adjudicate the conflict and rule a winner and loser. Appealing to the expert is straight use of authority to resolve differences. When the boss is bent on suppressing a subordinate and the subordinate is trying to win over the boss, the result—for the subordinate—is most likely to be that he loses. With the loss is likely to come, at least temporarily, a subordinate response of 1,1. All of these procedures, at least, solve the problem of open conflict. When open conflict is relieved through one person's demonstrating that he is right and that others are wrong, however, as has been said, a *victor* and a *vanquished* are produced. Feelings rooted in victory and defeat are not a particularly sound basis for establishing relationships that promote cooperation and mutually productive effort among managers or between supervisors and subordinates.¹³

Both the use of suppression and the emergence of win-lose power struggles contain assumptions about the in-

evitability of disagreement and about the lack of necessity, or perhaps the impossibility, of achieving true agreement. Both indicate that disagreements, when they arise, are to be managed by controlling the *expression* of disagreement rather than by approaching and resolving the cause underlying the disagreement.

IMPACT OF 9,1 ON CREATIVITY AND CHANGE

Creativity, that is, finding new—or better—ways of doing old things, or finding new things that are useful and profitable to do, surely is an indispensable ingredient in a competitive economic society. It is mainly from such innovation that material progress toward better living is possible.

How supervision is exercised determines to a great extent, how much creativity is unleashed and mobilized for organizational application. It is also a determining factor in how much antiorganizational creativity—ways of beating the system—is generated as a way of resisting supervisory pressures and organizational requirements.¹⁴

As has been found in other aspects of the impact of a 9,1 managerial philosophy on actual results, it is important to consider creativity separately and to look at it from the boss level and from the subordinate level.

At the Boss Level

At levels of managerial action, where emphasis is on planning and devising ways in which organization accomplishments can be achieved, the amount of creativity demonstrated is likely to be higher than at levels where responsibility is limited to executing plans devised by others. The pick up of innovation can be immediate and changes can be quickly authorized by those who have the authority to make such decisions.

However, the situation is likely to be quite different and even less creative down the line.

At the Subordinate Level

A symptom associated with 9,1 management, particularly at the worker level, is the absence of organizationally relevant and creative ideas by people who work

at these levels. Some suggestions may help in explaining why. Their jobs most often are defined in terms of doing or executing; people are not considered in terms of contributing to the thinking aspects of the task; rather, they contribute by "turning out results." A primary advantage of work simplification and the division of activities into manageable pieces, for example, is that judgment and decisions, which concern anything more than simple motions or procedures, are reduced to a minimum.⁵⁸ By these arrangements, people do not need to think. And, as a result, they do not. At least they do not think in terms that contribute toward organization purpose(s).

If suggestions are passed up the line, the 9,1 action is likely to be that of immediate judgment, often with resentment, of the suggestions themselves.⁵⁹ Rather than taking an experimental attitude, the supervisor is likely to say, "We've tried that," or simply, "It won't work." To himself he may say, "New ideas go down; not up." Frequently, it is said that low level jobs offer little opportunity for creativity. Just because a job does not require novelty in executing a routine task does not mean that possibilities of creativity are not present. In any event, if creativity and thinking are totally stifled, a result may be that a 1,1 orientation is taken.⁶⁰ Then interest is withdrawn and feelings of involvement minimized. Another consequence may be that if opportunity to participate actively in the thinking aspects of work is denied and this is coupled with strong output pressures, people will find ways to be creative, applying their talents to slow down production and to frustrate the goals of the organization.⁶¹ Even assembly line work, where creative team-work is possible when disruptions occur, productive effort can effectively be reduced by people waiting for the problem to be solved (by others).

As a result, the creative abilities of people in the middle and at the bottom of such organizations are not always stifled, but rather they may be stimulated. *Then creative thinking goes into how to defeat the system and to prevent it from working well.* At the least, suggestion systems seem to wither on the vine under 9,1 and much

good grass-roots experience and thinking goes begging. Quicker and more efficient ways of getting sound results are buried. In turn, discovery of ways to work more efficiently are used to the advantage of the individual worker in ways contrary to organization purpose. He learns to expend less energy in the same amount of time, rather than contributing to increased production. Successful application of incentive systems such as the Scanlon Plan⁶² (which does reward worker creativity), and studies where computations of lost time are made, give evidence of the actual reduction in contribution that can be attributed to 9,1 management relative to what is possible. In some 9,1 based organizations there are dramatic examples of antiorganizational creativity—the "innocent" and unidentified causes of destruction of machinery and equipment, hiding tools, short-circuiting assembly lines, and so on. Many are highly creative. Efforts by 9,1 management to thwart the antiorganization creativity efforts of subordinates seem always to be countered with even more ingenious and devious blockages.

The silent but powerful creative resistance of subordinates to changes designed to promote productivity is a barrier 9,1 has yet to deal with effectively. And, when large numbers of workers join in concert, they can form a chain of resistance that defies breakage.⁶³

COMMITMENT UNDER 9,1

Commitment in a 9,1 organizational system is likely to vary, depending upon one's level of responsibility.

The Boss' Commitment

The following can be said of commitment to organizational purpose(s) of an individual whose own boss does not prevent him from managing in a 9,1 way. If his production ethic is to achieve results by whatever means, a circumstance *not* uncommon in 9,1, then it is possible his performance results are likely to be up, particularly in the short term. Another way of saying it is that if the organization gives reward only to production and shows little consideration for people, then a per-

son with a 9,1 managerial orientation is likely to be committed. He feels no tension, he is in harmony with the organization. He is free to drive himself, and others, according to his own personal preferences.

Commitment of Subordinates

From the standpoint of those in subordinate roles under 9,1 supervision, however, the results in terms of organization commitment are likely to be quite different. 9,1 represents high centralization of planning, directing and controlling. Others are little more than agents of production. From the subordinate's angle, such managerial behavior is seen as thoughtless and arbitrary. He is being "used."

From a longer term perspective, 9,1 supervision is likely to generate one of three different reactions:

1. One reaction to 9,1 is a 1,1 compliance.⁶¹ Then individuals do the minimum required of them, no more, no less.⁶² In this way, they can avoid being "used" because they are able to maintain a kind of isolation and withdrawal, and yet execute those requirements necessary to retain their membership. The reaction described here is not restricted to the "working man," but occurs among persons at all levels of organization.

This 1,1 reaction to 9,1 condition of work has been amply described but frequently incorrectly interpreted by management.⁶³ Under such supervision, it is "obvious" that people are "lazy, apathetic and indifferent." The misinterpretation is that this is what they truly are. There is failure to recognize that such behavior is unnatural. The role of supervision in *causing* the lazy, apathetic and indifferent behavior is not recognized.

2. Another impact of 9,1 takes a stronger antiorganizational direction. Men who find themselves offended, and who are unable to redress directly what they regard as injustices, may then take another, more militant, orientation to correcting the problem. Given effective leadership, 1,1 is counteracted and they are aided to achieve through numbers what none was able to accomplish by

himself. The resulting formation of the strength of unions dedicated to *security* can be traced to reactions against 9,1 managerial conditions of work. Tannenbaum is emphatic in the point that unions come about in the way described above.⁶⁴ In recognizing their individual helplessness, he says, workers join together to enforce upon employers recognition of their common strength. The trade union, Tannenbaum indicates, "was the visible evidence that man is not a commodity and (simultaneously) that he is not sufficient unto himself."⁶⁵

There are many reasons for men joining unions. The above description depicts one of the most significant ones. It is said here that this commitment is antiorganizational. This is meant to indicate that the reason for joining the union is to *resist* the organization.

3. A third reaction to 9,1, also involving antiorganization commitment, has been referred to in the section concerned with supervision. There it was said that slowdowns and other forms of work hindrances, such as damaging equipment, etc., are frequently practiced at lower levels as a means of discharging resentment.

Which of the three possible reactions, or what combination of them will occur, cannot be predicted without further information. The critical factor in the response to 9,1 is *tensions of resentment and hostility*. Whether it provokes 1,1 apathetic compliance, retaliation through destructiveness, or unionization, is partly due to the individual's make-up and partly to whether there is effective leadership to lead him into a union.

MANAGEMENT DEVELOPMENT UNDER 9,1

Another important organization and personal consideration is management development as a means of furthering individual capabilities to contribute to the organization. Encompassed are several aspects, including selection, induction, formal training, and performance appraisal. All are ways of increasing organizational capability through more effective people.

The 9,1 managerial orientation contains definite views

about management development. They take the following directions:

Selection

Selection is all important because "you can't make a silk purse out of a sow's ear." Get good people *first*. Then you don't have to train them to do what they should already know.¹⁰ There are several rules of thumb that might be considered. For example, young people with good military records are a good bet. So are people who have worked in college. They've had to sacrifice a little for what they've got. Unmarried men are a better bet than ones with families. But most of all, what you want is men with ambition—who want to get "to the top" and are willing to make the sacrifices to get there.

Infection

The 9,1 orientation contains at least two ideas about inducing the newcomer. One is this: "The best way to measure a man's calibre is to throw him into the thick of things. The strong ones will swim and the weaker sink. There's not much you can do better than to put a man to the acid test. You might as well find what you've got, quick."¹¹ Along with this notion of "testing a man's mettle," is another. "Have a trial period, where you don't commit yourself to the man before you know what he's got. Then if you need to, you can separate him early. Your hands are not locked with promises."

Management Training

Another consideration is management training; the use of educational methods to further the ability of individuals to serve the organization.

A manager with a 9,1 orientation is likely to have definite views about "management training." Basically, he is likely to see supervisory talent as unlearnable.¹² Either you have it or you don't." As a result, training—particularly human relations training—is likely to be seen as

worthless, or even harmful.¹³ The latter point of view is based on the fear that "training in human relations will make people soft."

If any management training is thought useful under a 9,1 orientation, it is likely to be training concerned with company objectives, rules and policies, with a little background information on the system for administering and promoting personnel. This kind of orientation or indoctrination training, as it might be said, "can keep a youngster from running amok, and getting into trouble before he learns the ropes."

Performance Reviews

Another aspect of management development is through performance reviews. Here the 9,1 approach is, "You let a man know." This is done clearly and without qualification. The supervisor's obligation, in other words, is to evaluate those under him thoroughly and to point out the ways in which improvement is to be achieved.¹⁴ The subordinate is told what his weaknesses are and what he can do to correct them. "It is the man's responsibility, in the final analysis, to shape up or ship out."

9,1 PERSONAL BEHAVIOR

The adoption of any given dominant managerial orientation may represent an individual's choice from among several styles because of "basic" personality trends.¹⁵ These personal characteristics may represent strong predispositions which make the expression of one set of managerial attitudes and assumptions seem more natural than another.^{16, 17}

Outstanding Personal Characteristics

The key for understanding of the person whose personal behavior is oriented in a 9,1 direction is his drive toward mastery and proving himself through performance.¹⁸ An inner sense of direction is maintained which is *achievement oriented*.¹⁹ Opinions of others which might demand a shift from his course of action are disregarded. He tends

to be impervious to criticism. Rejecting others who disagree with him is no cause of alarm.

The 9,1 oriented person places high value on making decisions that stick or on doing things his own way because it is "his" way. In terms of convictions, he is ready to stand up for his own ideas, opinions, and attitudes and to press forcefully for their acceptance, even when others are pushing for their own against him.⁵⁰ Because he tends to have strong convictions, he is likely to initiate action, take the ball and run in his own direction and under his own steam. The basic attitude is that, although he may not always be right, rarely is he in doubt. Once a conviction, opinion or attitude is adopted, it is likely to be clung to, tenaciously.⁵¹ Given these attitudes, a person who is acting out of 9,1 assumptions is more inclined to "interpret" facts in order to uphold his own views than to modify his conclusion in line with the objective situation. He is directed-from-within himself.

Furthermore, he is oriented toward proving himself through performance or the validity of his position, even at the expense of friendly relations with people. Frequently, his momentum builds up to such a point that it is difficult even for his boss to stop him. Rather than gaining acceptance through being a "good guy," he seeks to gain control by winning for his point of view, even if it results in stepping on toes.

From the standpoint of personal attitudes towards conflict, he finds little reason to shy away. With either boss or peers, he is inclined to enjoy a fight and to try to win if doing so will prove himself. With a subordinate, the 9,1 approach to conflict and disagreement is to prevent it from occurring by suppressing disagreement. It is weak to let yourself be challenged by those reporting to you. Having learned obedience to paternal authority, challenge to his own authority is "heresy."⁵² Acting according to 9,1 attitudes, his temper can well up when things are not going according to his wishes. His humor, like his approach to conflict, is hard hitting. It tends to carry a sting.

To the degree that 9,1 assumptions about how to man-

age represent a way of life for an individual, another question needs to be dealt with. The question is, "What kind of underlying motivation causes an individual to adjust in this manner?"

Childhood Origins of 9,1

The inner directed, tough-minded, hard-hitting kind of orientation to problems and people depicted in 9,1 is a way of behaving which has had a long history within the cultures of men.⁵³ However, in modern times, the underlying motivation of 9,1 would be understood in the following way.

Its origins can be traced to childhood.⁵⁴ Parents may, quite unwittingly, place demands for acceptable conduct on their children.⁵⁵ Such demands come, not from paternal consideration and thoughtfulness towards children and what is best for their growth, but from tension and anxiety within the parents themselves for achievement and hard work, as a means of proving oneself. Criticism, feelings of low self worth, and lack of respect for others tend to flourish under such circumstances. The child, though seeking love and approval, rarely finds it. Actually, he finds that punishment is the swift consequence of idleness and misconduct. He may find it impossible to get love and approval, but he can avoid disapproval through obedience, diligent effort, and achievement. As a result, the child can become overly preoccupied with concern to keep busy, to avoid wasting time, and to master and control himself and his environment.⁵⁶

An individual can avoid the anxiety that parental disapproval produces and that comes from thinking about his deeper lying problems by keeping busy in some kind of activity. In this way, anxiety about one's own acceptability to parents may be relieved. Thus, reduction or avoidance of guilt becomes a powerful motivating force that may persist throughout a lifetime.⁵⁷

A 9,1 oriented adult may think these objectives of "proving himself through hard work" to be his own, but in fact, he has taken them from his parents.⁵⁸ By adopting his parents' concerns, the child, in a sense, becomes a carbon copy of those who drove him toward personal

mastery and achievement, even at the expense of others.⁵⁷ In other words, he develops a concern for getting things done, for producing, for proving himself through his own competence.⁵⁸ Power to win over others is a test of his strength. To be challenged by his own subordinates is a sign of weakness.

The more 9,1 are the assumptions of parents regarding child rearing, the greater the likelihood that because of their own needs, they compel their children to work, to save, to clean house, to study, and so on—to prove themselves.⁵⁹ While all may in themselves be desirable child activities, it is the way that parents *demand them* that produces the results being described. The result is that, 9,1 parents tend to want their boys to be manly, and with the same driving intensity, their girls to be feminine.

Sense of Direction

By the time a person who has been reared according to 9,1 assumptions becomes adult, he has adjusted more or less in the manner just described. Now, rather than feeling pangs or qualms of guilt at his failures to be productive, which are already related to his relationship with his parents, he feels qualms of guilt at his failure to discipline himself, to accomplish the results he had set himself toward. His parents' attitudes "live within him"; they have become his own. As Riesman says, "parents who discipline and provoke guilt-ridden anxieties in children serve effectively to set a gyroscope in motion in a child's early life. The child, as an adult, continues to take his orientation towards life from the gyroscope which had been set many years before."⁶⁰

This kind of inner-directed person is not free to analyze the present situation and to take a studied empirical approach to it.⁶¹ He has the direction that he must take already thrust upon his mind. 9,1 as a source of direction is likely to be inflexible when situations demanding rapid adaptation appear.⁶² It is for this reason that in the 9,1 kind of adjustment, deeper lying factors of character and personality structure seem to compel an individual to continue in a direction once taken. Just be-

cause the direction in which the person is impelled turns out not to be the best, it does not automatically mean that the direction will be shifted adaptively to meet the awareness of an altered situation. Rather, it is more likely that the individual will try to adapt the situation to be consistent with his own direction.⁶³

CONDITIONS AND CONSEQUENCES OF 9,1 ORGANIZATION STYLES

Of importance is a consideration of the circumstances and conditions that lead to and promote widespread utilization within organizations of one managerial orientation over another. Of equal importance is an understanding of the long-term consequences for organization development of the widespread application of one or another, or some combination of the various managerial theories.

Conditions and Circumstances Promoting 9,1

Many organizations of today, especially in the United States and Europe, have evolved from an industrial society founded on the concepts of 9,1 management.⁶⁴ Historically, 9,1 assumptions are rooted in cultural attitudes toward work and the nature of man, typified in the extreme as master-slave, baron-serf, etc.⁶⁵

Although considerably altered over the years, managerial attitudes, values and assumptions regarding people remain, to a large extent, embedded in these traditions, which means that much current managerial thinking and practice is guided by explicit and implicit assumptions from the past.

Involved is the question from a 9,1 view of how best to achieve organization purpose(s) through people who are seen to be more or less truculent, unwilling, resistant agents of production.⁶⁶ In a word, then, a considerable number of organization practices today are based in past thinking—a quality of thinking that has not yet been seriously challenged by a system that can produce as well and not generate some of the secondary side effects already noted. Argyris questions, however, whether 9,1 thinking is not,

in fact, "self-fulfilling" thinking that triggers 9,1 managerial actions. "Directive leadership creates dependence, submissiveness, and conformity. Under these conditions, subordinates will tend to be afraid to use their initiative. Consequently, the superior will tend to fill in the vacuum with directive leadership. We now have a self-fulfilling prophecy."⁵⁷

Significant factors such as changing social values, widespread increase in the level of general education, and unionization, have begun to shift management thinking in a different direction than 9,1. Yet, until a theory of management is found that can do better than 9,1, it is likely that organizations which have a history of 9,1 management will not seek vigorously for more effective alternatives. In this connection, it is widely recognized that management can achieve high production results by 9,1 methods.⁵⁸

What are some of the conditions that promote and maintain 9,1 concepts of management within an organization? One is related to education. Despite educational advantages available today, a large segment of our population still lacks the level of competence that would permit them to deal in work situations with a high level of technical knowledge and judgment. One consequence is that management still finds it necessary to exercise a great degree of planning, directing and controlling in the work situation, especially at the lower levels. Technically trained managers plan; up-from-the-ranks management supervise implementation, and others execute. Such an arrangement fosters 9,1 and 1,1.

Related to education is the fact that economic conditions are still such that a large number of people are almost wholly dependent for livelihood upon the work situation. Because of their limited skills and as a result of little fluidity in the work market, they are compelled to endure 9,1 close supervision of the kind often found in the lower reaches of organizations.⁵⁹ Of course, this situation is less true today than it was only 20 or 30 years ago.

Also, a related consideration is the fact that if mass

production is to be achieved efficiently, the need is for management to simplify jobs into routine and simple segments. This need sustains the more general necessity described—to plan, direct, control and to coordinate the activities of workers who are performing low-level jobs. In order to adequately control such large numbers of workers in geographically dispersed organizations, it becomes even more necessary to centralize and move higher into the hierarchy of the organization the responsibilities for planning and coordination.

Another factor that promotes 9,1 is the keen competition between industrial organizations. As a result there is an even greater pressure today for tighter, more efficient controls over organization performance. All of these make 9,1 a common style of management in a competitive industrial society.

Long-Term Consequences of 9,1 Management

Detailed analyses are available concerning the organizational consequences of 9,1 management. It would not be worthwhile to repeat them here except by way of summary.

Many of the long-term consequences of 9,1 already have come to fruition during this generation. The greatest of these has been unionization.⁶⁰ This is not to say that unionization in and of itself is a sole result of 9,1 management. But win-lose struggles between unions and management frequently center on aspects of 9,1 management that are resisted and resented by wage personnel. Another consequence is that management's inability to cope effectively with its own problems of competition and the economic problems of the nation, continue to lead to more and more government intervention and control.

The gradually increasing skills and knowledges of people frequently fail to be tapped for their full potential under 9,1 long term. This could result in full advantage not being realized from managerial competence.

The most general, yet far-reaching, impact of 9,1 is the gradual shift of many working and managerial persons in the direction of a 1,1 accommodation to organi-

zation work.¹⁰ As human performance potential increases but is not utilized, the greater is the shift to 1,1.¹¹

SUMMARY

In this chapter the 9,1 style of managing people has been examined. Under 9,1 managerial assumptions, people are regarded as instruments of production. Supervision of production under a 9,1 orientation places heavy emphasis on task and job requirements, on a "produce or perish" philosophy. People are bent to fit the job and are more or less disregarded except as they demonstrate themselves to be tools of production. The use of hierarchical power, in the authority-obedience sense, is the basis of control. One-to-one boss-subordinate relationships are the key linkages within the system. Human relationships and interactions are minimized except as work dictates the flow of orders and information through the system.

The relationship between a manager and his subordinates is based on the exercise of authority and obedience. Subordinates are for the purpose of implementing plans assigned to them. This they are expected to do with unquestioning obedience. Little concern is given to the development of subordinates or to communicating with them beyond issuing instructions or procedural changes.

When conflict erupts between subordinates, the 9,1 style is to suppress it because of the effect conflict can have on work. If the conflict is between peers, or with one's boss, the goal is to win. The 9,1 motto is, "Nice guys finish last."

1. In their early work with small groups, Bales and others identified two distinct roles assumed by various members in problem-solving groups—"task" role and "social" role. Both sets of role behavior are rarely observed in the actions of any one individual, i.e., a person is either concerned for the task (production) or his concern is for the social (people) aspects of a group's activities—seldom both at the same time. Representative experimental work and discussion of theory is contained in R. F. Bales, *The Equilibrium Problem in Small Groups*. In T. Parsons, R. F. Bales & E. A. Shils,

Working Papers in the Theory of Action. Glencoe, Ill.: Free Press, 1955, 111-181. (Also abridged in A. P. Hare, E. F. Borgatta & R. F. Bales (Eds.), *Small Groups*. New York: Knopf, 1955, 424-456.) Also, see Shater, P. E. *Role Differentiations in Small Groups*. *American Sociological Review*, 20, 1955, 800-810; Bales, R. F. & Sister, P. Role Differentiation. In T. Parsons, R. F. Bales, et al. *Family, Socialization, and Interaction Process*. Glencoe, Ill.: Free Press, 1955; Slater, P. D. *Role Differentiations in Small Groups*. *American Sociological Review*, 20, 1955, 800-810.

2. A recent study by Moment and Zaleznik is in line with the early work of Bales, et al. In addition to Task (Technical) and Social roles, Moment and Zaleznik identify a detached, sometimes passive, sometimes hostile and competitive role (Underchosen) and a Fusion role (Star), the latter being high on both task and "congeniality." Stars demonstrate a higher combination of task and socially relevant behavior. However, a partial dichotomy rather than an Integration (Fusion) in the two concerns is suggested in some aspects for the roles of the Stars: "Satisfaction comes from engagement in the social-technical process in a way that balances progress toward improvement with the disruptions of change," p. 121. Moment, D. & Zaleznik, A. *Role Development and Interpersonal Competence*. Boston: Harvard University, 1968. (Italics, i. e., balances, ours).

As will be seen in Chapter 6, this book, a split between production and people concerns is still assumed under 5,5 and is contrasted with an integration of these two concerns under 9,9. (Chapter 7). Since 5,5 (balancing), per se, is not treated by Moment and Zaleznik, it appears that both 5,5 and 9,9 (Integration) fall into the category of "Stars."

3. Meier, N. R. F. *Psychology in Industry*. (2nd Ed.). Boston: Houghton, 1955, 139-140.

4. Marrow, A. J. *Making Management Human*. New York: McGraw-Hill, 1957, 73.

5. Barnard, C. I. *The Functions of the Executive*. Cambridge: Harvard University, 1938, 67; Urwick, L. *The Elements of Administration*. New York: Harper, 1953, 86-89.

6. Davis, R. C. *The Fundamentals of Top Management*. New York: Harper, 1951, 14-15, 244, 281, 284; Newman, L. E. *Some Philosophies of Management*. Advanced Management, 24, (7), 1959, 6-8.

7. The needs of the "formal" organization for production and the needs of individuals for mature growth and "self-actualization" are treated extensively by Argyris. Production and people needs are viewed as incongruent. See Argyris, C. *Perceptivity and Organization Behavior*. Harper, 1957; Argyris, C. *Understanding Organizational Behavior*. Homewood, Ill.: Dorsey, 1960; and, Argyris, C. *Personal Competence and Organizational Effectiveness*. Homewood, Ill.: Dorsey, 1962.

"Theory X," as discussed by McGregor also provides a fundamental analysis of 9,1 assumptions and organizational behavior. McGregor, D. *The Human Side of Enterprise*. New York: McGraw-Hill, 1960 (see esp. pp. 33-43). McGregor sees a need to integrate the needs of organizations and the needs of people. (See McGregor's concept of "Theory Y.") McGregor, D., op. cit., 46-57.

References

1. In their early work with small groups, Bales and others identified two distinct roles assumed by various members in problem-solving groups—"task" role and "social" role. Both sets of role behavior are rarely observed in the actions of any one individual, i.e., a person is either concerned for the task (production) or his concern is for the social (people) aspects of a group's activities—seldom both at the same time. Representative experimental work and discussion of theory is contained in R. F. Bales, *The Equilibrium Problem in Small Groups*. In T. Parsons, R. F. Bales & E. A. Shils,

**This Page is Inserted by IFW Indexing and Scanning
Operations and is not part of the Official Record**

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

BLACK BORDERS

IMAGE CUT OFF AT TOP, BOTTOM OR SIDES

FADED TEXT OR DRAWING

BLURRED OR ILLEGIBLE TEXT OR DRAWING

SKEWED/SLANTED IMAGES

COLOR OR BLACK AND WHITE PHOTOGRAPHS

GRAY SCALE DOCUMENTS

LINES OR MARKS ON ORIGINAL DOCUMENT

REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY

OTHER: _____

IMAGES ARE BEST AVAILABLE COPY.

As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.